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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/017,368	12/13/2001	Mark S. Moriconi	PA1682US	8047
23910	7590	05/03/2005	EXAMINER	
FLIESLER MEYER, LLP FOUR EMBARCADERO CENTER SUITE 400 SAN FRANCISCO, CA 94111			POLTORAK, PIOTR	
			ART UNIT	PAPER NUMBER
			2134	

DATE MAILED: 05/03/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No.	Applicant(s)	
	10/017,368	MORICONI ET AL.	
	Examiner	Art Unit	
	Peter Poltorak	2134	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 30 September 2002.
- 2a) ☐ This action is FINAL.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-18 and 34-35 (renumbered as 1-20) is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-18 and 34-35 (renumbered as 1-20) is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 29 April 2002 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                        | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)               | Paper No(s)/Mail Date. _____  |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                                    |

### DETAILED ACTION

1. Claims 1-18 and 34-35 have been examined. As per 37 CFR 1.126 claims 34-35 have been renumbered as claims 19 and 20.

#### *Priority*

2. Acknowledgment is made of applicant's claim for priority as cited in paragraph 1 of the specification.

#### *Drawings*

3. The drawings are objected to because of the following informalities:
  - a. In different places in the specification object 118 is referred to as different entities: on page 14 (the second line from the bottom of the page) applicant discloses that 118 represents a user terminal and on page 15 (line 7) object 118 represents a central processing unit. (When correcting this inconsistency Applicant should examine the entire specification for other occurrences, e.g. object 118 is presented as "a user terminal" on page 28. No new matter may be added.)

In order to prevent any unnecessary confusion the drawings and the specification should consistently map numbers to the distinct objects throughout the entire application.
  - b. Object 464 cited on pg. 25 in the specification in regard to Fig. 4 is not found in Fig. 4.
  - c. Fig. 5 shows objects 516 and 518 but there is no reference to the objects in the specification.

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4. Corrected drawing sheets are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The figure or figure number of an amended drawing should not be labeled as "amended." If a drawing figure is to be canceled, the appropriate figure must be removed from the replacement sheet, and where necessary, the remaining figures must be renumbered and appropriate changes made to the brief description of the several views of the drawings for consistency. Additional replacement sheets may be necessary to show the renumbering of the remaining figures. The replacement sheet(s) should be labeled "Replacement Sheet" in the page header (as per 37 CFR 1.84(c)) so as not to obstruct any portion of the drawing figures. If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

#### ***Claim Objections***

5. Claims 19 and 20 recite "zero or more security engines for storing and enforcing a set of rules". It is not understood how zero security engines can store and enforce a set of rules. For purposes of further examination the phrase is treated as "security engines for storing and enforcing a set of rules".

#### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

6. Claims 2, 8, 11 and 17 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter that applicant regards as the invention.
7. Claims 2, 8, 11 and 17 recite that security engines store the rules separately from each application. The limitation is not understood. It is not clear whether the limitation simply attempts to distinguish the rules from the applications or whether there is some other meaning for this limitation.
8. Claim 18 is rejected by the virtue of its dependence.  
Appropriate correction is required.
9. Claims 1-3, 5, 7-8, 10-12, 14, 16-17, 19 and 20 are rejected under 35 U.S.C. 102(b) as being anticipated by *Carter (Alan R. Carter, "Windows NT 4.0 MCSE Study Guide", 1997, ISBN: 0764530879)*.
10. As per claims 10 and 14 *Carter* teaches a system comprising a system policy file that restricts the user's ability to perform certain tasks on any Windows NT computer on the network to which the user logs on (*Managing System Policy*, pg. 350). The system policy is saved on a domain controller and when a user logs on to the domain, a client machine retrieves the system policy file from the Netlogon share (*Managing System Policy*, pg. 351).

This reads on a policy manager, coupled to a network including a database for storing a security policy including a plurality of rules, a policy distributor for

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distributing the rules through the network, a plurality of security engines, each coupled to the network, for receiving a set of rules through the network from the policy distributor, storing the set of rules, and enforcing the set of rules.

Windows NT inherently comprises a plurality of applications, each application being coupled to a respective security engine, and Fig. 9-8 (pg. 352) and Computer Policy section (pg. 353-354) disclose that each security engine is able to enforce a set of rules for its respective application.

The above also reads on location means for enabling components in the system to locate each other through the network.

11. Claims 1, 5, 7, and 16 are substantially equivalent to claims 10 and 14; therefore claims 1, 5, 7 and 16 are similarly rejected.
12. As per claims 2, 8, 11 and 17 (as best understood) the limitations are inherent; rules as taught by *Carter* are different entities than applications, and as such the rules are separate (stored separate) from the applications.
13. The limitations of claims 3 and 12 are inherent; Windows NT uses APIs to communicate with applications, and restricting applications (e.g. registry editing tools) must result in evaluating a request to access the applications.
14. As per claims 19 and 20 servers in Windows NT environment are capable of synchronizing directories (e.g. *Optimizing Directory Services in a WAN environment*, pg. 432).
15. Claims 4, 9, 13 and 18 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Carter* (Alan R. Carter, "Windows NT 4.0 MCSE Study

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*Guide", 1997, ISBN: 0764530879) in view of Microsoft Press (Computer Dictionary, 3rd Edition, ISBN: 157231446XA, 1997).*

16. *Carter* discloses the system comprising APIs, as discussed above.
17. *Carter* does not teach plug-in APIs.
18. *Microsoft Press* teaches a plug-in (*Microsoft Press*, pg. 370). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate a plug-in API as taught by *Microsoft Press*. One of ordinary skill in the art would have been motivated to perform such a modification in order to provide added functionality (*Microsoft Press*, pg. 370).
19. Claims 6 and 15 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Carter* (*Alan R. Carter, "Windows NT 4.0 MCSE Study Guide", 1997, ISBN: 0764530879) in view of Official Notice.*
20. *Carter* discloses the policy manager and the policy distributor hosted on a policy server (*a domain controller, Managing System Policy, pg. 351*), the security engines and applications as discussed above.
21. *Carter* does not explicitly disclose that the plurality of security engines and the plurality of applications are hosted on at least one separate server.
22. Official Notice is taken that it is old and well-known practice to employ more than one server in the Windows NT environment, e.g. *Windows NT based File Server etc.* One of ordinary skill in art at the time of applicant's invention would have been motivated to employ additional servers in order to centralize file sharing.

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*Carter* teaches that the system policy file restricts the user's ability to perform certain tasks on any Windows NT computer on the network to which the user logs on (*Managing System Policy*, pg. 350), which means that the additional servers enforce the implemented policies. As a result, this reads on the plurality of security engines and the plurality of applications that are hosted on at least separate servers.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Peter Poltorak whose telephone number is (571)272-3840. The examiner can normally be reached Monday through Thursday from 9:00 a.m. to 4:00 p.m. and alternate Fridays from 9:00 a.m. to 3:30 p.m.

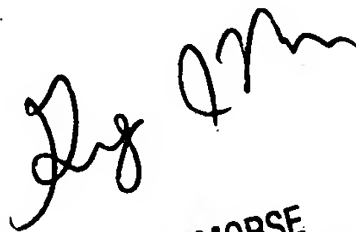
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory Morse can be reached on (571) 272-3838. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.



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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
Signature  
4/28/05  
Date

  
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